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B.W.LEE

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1

Customer No.:

PATENT TRADEMARK OFFICE

Docket No.: 3109/1G960

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**DOCUMENT TO OUR DEPOSIT ACCOUNT NO. 04-0100** 

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

RECEIVED

Rechnology Center 2100 Roger ALCALY; Timothy J. RUDDEROW; Frank L. VANNERSON

Serial No.: 09/852,222

Confirmation No.:

Filed:

May 9, 2001

For:

A METHOD AND SYSTEM FOR GENERATING AN INDEX OF

INVESTMENT RETURNS

### INFORMATION DISCLOSURE STATEMENT

Hon. Commissioner of Patents and Trademarks Washington, DC 20231

Sir:

In order to comply with 37 CFR 1.97 and 1.98, attached hereto is acopy of Form PTO-1449 and copies of the documents listed thereon.



PECENED SEP OF 2001 In accordance with MPEP Sections 609 and 707.05(b), it is request

that each document cited (including any cited in applicant's specification which is not repeated on the attached Form PTO-1449) be given thorough consideration and that it be cited of record in the prosecution history of the present application by initialing Form PTO-1449 next to the document. Such initialing is requested even if the Examiner does not consider a cited document to be sufficiently pertinent to use in a rejection, or otherwise does not consider it to be prior art for any reason, or even if the Examiner does not believe that the guidelines for citation have been fully complied with. This is requested so that each document becomes listed on the face of the patent issuing on the present application.

The undersigned is also enclosing herewith a copy of a Search Report issued August 20, 2001 for the PCT counterpart of the present patent application (Application No. PCT/US01/14884), in which the presently disclosed references were cited. Since a translation of the Search Report is also enclosed, or the Search Report utilizes conventional codes to characterize each cited reference, it is believed that the applicants in the above-identified patent application have now met the "concise explanation" requirement of 37 C.F.R. 1.98.

This submission is filed before a first action on the merits has been mailed.



The present Information Disclosure Statement is being submitted in compliance with 37 CFR 1.56, but the citation of such document is not to be construed as an admission that such document is necessarily relevant or prior art. No representation is intended that the cited documents represent the results of a complete search, and it is anticipated that the Examiner, in the normal course of examination, will make an independent search and will determine the best prior art consistent with 37 CFR 1.104(a) and 1.106(b) and, in the course of each search, will review for relevance every document cited on the attached form even if not initialed.

It is believed that no fee is due. However, if the Commissioner determines that a fee is due, the Commissioner is hereby authorized to charge the above deposit account for any deficiency. PECENER VOICENTER

Early and favorable consideration is earnestly solicited.

Respectfully submitted,

Dated: August 31, 2001

anah Brenenson

Registration No. 47,442 Attorney for Applicant(s)

DARBY & DARBY 805 Third Avenue New York, NY 10022 (212) 527-7700

Serial No. 09/852,222

Docket No. 3109/1G960



PECEIVEL PERMODON CONTER 2000 SHEET <u>1</u> OF <u>1</u> (REV. 7-80)

# LIST OF REFERENCES CITED BY APPLICANT

(Use Several Sheets if Necessary)

**DOCKET NO.: APPLICANT:** 

NUMBER

3109/1G960 Roger ALCALY

**DATE** 

**SERIAL NO:** 

09/852,222

FILING DATE:

May 9, 2001

YES

NO

**CONFIRMATION NO:** 

CLASS SUBCLASS

### **U.S. PATENT DOCUMENTS**

*EXAMINER INITIALS	DOCUMENT NUMBER	DATE	<u>NAME</u>	<u>CLASS</u>	SUBCLASS	FILING DATE	
	1. 5,126,936 2. 5,784,696	06/30/92 07/21/98	Champion et al. Melnikoff	364 705	408 36	09/01/89 06/06/95	
	FOREIGN PATENT DOCUMENTS						
*EXAMINER	DOCUMENT					TRANSLATION	

COUNTRY

## **OTHER REFERENCES** (INCLUDING AUTHOR, TITLE DATE, PERTINENT PAGES, ETC.)

#### \*EXAMINER **INITIALS**

**INITIALS** 

- 3. Sharpe, W.F. "Asset Allocation: Management Style and Performance Measurement"; Journal of Portfolio Management, vol. 18, no. 2, Winter 1992, pp 7-13
- 4. Gibson, R.C., "The Rewards of Multiple-Asset-Class Investing"; Journal of Financial Planning, Vol. 12, no. 3, March1999, Conclusion

EXAMINER:	DATE CONSIDERED:
LXAIVIIIVLII.	

\*EXAMINER:

Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.